



# Alexandria Police Department

## Directive 4.14



# EMPLOYEE EVALUATIONS

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### 4.14.01 PURPOSE AND POLICY

The purpose of this directive is to identify the rights, duties and responsibilities of employees participating in the city's Performance Evaluation Program.

The Department's policy is to accomplish the following objectives through the Performance Evaluation Program:

[35.1.1.a]

1. Promote employee achievement and job satisfaction;
2. Maintain and improve performance;
3. Facilitate personnel counseling;
4. Facilitate appropriate decisions regarding employees;
5. Provide an objective and fair means for measuring and recognizing individual performance;
6. Identify training needs;
7. Assist communication between employees and their supervisors regarding work to be accomplished and the means for measuring achievement;
8. Provide a continuing formal record of employee performance by documenting positive and negative performance; and

9. Provide a management tool for determining *whether* employees *earn an annual* merit pay increase.

#### **4.14.02 DEFINITIONS**

**Planning Session** – A meeting between a supervisor and subordinate where the subordinate's responsibilities and guidelines for satisfactory performance are explained and discussed. The understanding will be documented in writing on the subordinate's performance evaluation form. This may be combined with the review session.

**Progress Discussion** – An interim meeting between a supervisor and subordinate during the review period to discuss how the subordinate is progressing and the status of developmental activities in which the subordinate may be involved. Progress discussions are required for employees on probation.

**Review Period** – The period for which an employee's performance is evaluated.

**Review Session** – A meeting between a supervisor and a subordinate at the end of the review period to discuss the subordinate's accomplishments and performance. The supervisor's evaluation of the subordinate's performance and any improvement plans are shown on the subordinate's performance evaluation form. Review sessions shall occur annually.

#### **4.14.03 RESPONSIBILITIES**

A. Employees will:

1. Contribute during discussions with their supervisor when reviewing performance factors and/or drawing up major work objectives and performance indicators during planning sessions;
2. Call their supervisor's attention to the need to revise the evaluation form if responsibilities or performance indicators change significantly or need to be modified;
3. Have the ability to ask for feedback on their work during the review period;
4. During a review session, express their views constructively on their supervisor's appraisal of their performance; make suggestions on plans to improve or develop their skills; use the employee comments section on the form if they have strong feelings of agreement or disagreement about their evaluation and/or the process; and
5. Follow through on the implementation of documented action plans.

**B. Raters (immediate supervisors of employees) will:** **[35.1.1,c]**

1. Conduct an annual performance evaluation for employees assigned to them, in accordance with provisions of A.R. 6-24 and the city's Employee Performance Evaluation Program. **[35.1.2]**
2. Supervisors of newly assigned subordinates are responsible for establishing contact with the subordinates' previous supervisors, retrieving the subordinates' evaluation packages, and ensuring that evaluations are completed and submitted on time.
  - a. If both supervisors agree, the previous supervisor may complete the evaluation and present it to the subordinate, with input and concurrence from the current supervisor.
  - b. This would most likely occur when the previous supervisor had supervised the employee for a majority of the rating period.
  - c. Regardless of who completes the evaluation and presents it to the employee, both supervisors are responsible for ensuring that the evaluation is submitted on time.
3. Evaluations must be forwarded, through channels, early enough so that the police chief or designee may sign them no later than the due date. In most cases, this means the evaluation package should be completed and forwarded ten (10) days before the due date. Additional time should be allowed if the evaluation recommends denial of appointment from probationary to regular status, denial of a merit pay increase, or if requesting an extension of the review period or probationary period. **[35.1.1.b]**
4. Maintain a unit level file for each employee under his or her supervision.
  - a. The file may contain the following items:
    - i. Instruction and counseling notes;
    - ii. Copies of commendations;
    - iii. Copies of letters of appreciation;
    - iv. Documentation of training received;
    - v. Copy of current performance evaluation;
    - vi. Copies of past performance evaluations;
    - vii. Monthly worksheets;
    - viii. Personal history sheet; and
    - ix. Any other items pertaining to the employee's performance or evaluation, which may include comments and input from employees.
  - b. Unit-level files are used to document all aspects of employee performance, and should be reviewed when a supervisor is completing a subordinate's evaluation.

- c. Employees have the right to review and question any item in their unit level file. Any unresolved dispute over the accuracy of an entry in a unit level file will be brought to the attention of the rater's immediate supervisor for prompt disposition. Under certain circumstances it may be appropriate to allow a subordinate to respond in writing to a file entry, and for that response to be included in the file.
  - d. Suggested organization of the unit level file:
    - i. Section 1: Personal history sheet and any other items not related to a particular evaluation year.
    - ii. Section 2: Evaluation forms, starting with the current evaluation period.
    - iii. Section 3: Documentation for the current evaluation period (examples: supervisor's notes, letters of commendation, training completed during this time period, etc.).
    - iv. Section 4: Documentation from the most recently completed evaluation period.
    - v. Section 5 and subsequent sections: documentation from evaluation periods prior to the one most recently completed. It is recommended that items from the most recently completed evaluation period and at least two (2) previous evaluation periods be retained at any given time. Older items usually may be purged from unit level files if in the rater's judgment they are not needed. However, supervisors may retain items as they deem necessary (example: items pertaining to performance issues of a repetitive nature).
  - e. Unit-level files will be forwarded from one supervisor to the next *within two weeks of* the employee's transfer. No medical information should be maintained in the Unit-level file.
  - f. Unit-level files may be destroyed when an employee leaves city employment. Such destruction will be in a manner consistent with the confidential nature of the documents (for example, shredded). Unit level files will NOT be forwarded to the Personnel & Training Division.
5. Conduct planning sessions, including a description of the tasks to be performed, the level of performance expected, and the evaluation rating criteria. The tasks assigned should be reasonable, understandable, and attainable. The planning session should be conducted within 30 days of the previous evaluation, whenever possible. **[35.1.9,b]**
6. Identify employees' training needs in each planning session and ensure these training needs are communicated in writing to the Department training officer. **[35.1.9,c; 33.6.1]**

7. Hold at least one progress discussion during the evaluation period. The employee will be given the opportunity to make written comments.
8. When first becoming aware that a subordinate's performance does not meet requirements in any category, the rater should promptly inform the subordinate of the deficiency and the action necessary to correct it. If the deficiency is serious and may lead to a rating of below requirements or unsatisfactory rating, the subordinate should be notified in writing (this may be done during a progress discussion).
  - a. Whenever possible, the rater should make the subordinate aware of any serious deficiencies (those that could result in a rating of below standards or unsatisfactory) at least 90 days prior to the end of the rating period.
  - b. This notice will provide the subordinate an opportunity to bring performance to a level that meets requirements before the end of the rating period.
  - c. When the 90-day-notice cannot be provided, the rater should document the reasons in the narrative accompanying the evaluation (such as in the case of a 6-month probationary employee, or an employee who only displays unsatisfactory performance toward the end of the evaluation period).
  - d. Raters should complete and document as many progress discussions as are needed. **[35.1.6]**
9. When preparing for annual evaluations, request from the Property Section any property sheets that originated with the subordinate and that need final disposition. Include in annual evaluations either a notation that the subordinate has signed off on any property sheets needing dispositions and has returned them to the Property Section, or the subordinate has no property sheets needing dispositions at that time. Attach a photocopy of the Property and Evidence Review form (APD-129B) when forwarding the completed evaluation package. Employees that have not turned in property are exempt from this requirement.
10. Document specific performance behaviors of employees and note them in the performance evaluation system. **[35.1.4]**
11. Ensure that the performance evaluation covers a specific time period. **[35.1.5]**
12. Ensure that the performance evaluation documentation is based only on performance during the rating period.
13. Each supervisor who had responsibility for the employee during the rating period should have input into the evaluation. This includes, but is not limited to, members of the Special Operations Team, Hostage Negotiators, Honor Guard, and Accident Reconstructionist.
14. Ensure that evaluation criteria are specific to the employee's assignment for the duration of the rating period. Ratings on compliance with accreditation standards and civic association responsibilities will be included if applicable. **[35.1.4]**

15. Review Internal Investigation records and incorporate into the employee's evaluation only information regarding final dispositions occurring in the current evaluation period. Exception: a disposition from a previous evaluation period may be mentioned in an evaluation if it relates to a problem recurring in the current evaluation period.
16. Ensure that all ratings, especially below requirements, unsatisfactory, exceeds requirements or outstanding are adequately documented in a memorandum accompanying the evaluation. An official at any level within the rater's chain of command may require additional documentation.  
**[35.1.7]**
17. Consult with their (the rater's) immediate supervisor on the preliminary evaluation of the employee, prior to reviewing the evaluation with the employee.
  - a. This is particularly important when the employee's performance is judged to be uniformly outstanding or if performance fails to meet requirements in one or more categories, which may result in denial of a merit pay increase.
  - b. The rater and the rater's immediate supervisor should agree on the rating before the evaluation report is presented to the employee. If such agreement cannot be reached, both individuals should consult with the official who will ultimately sign the evaluation as the reviewer.
  - c. The purpose of such consultation should be to ascertain if adequate documentation exists to support the rating initially given by the rater. When necessary, the Personnel and Training Division Chief should be consulted in order to avoid technical errors that may lead to misunderstandings and grievances.
  - d. Forward evaluations promptly through the chain of command so the completed evaluation is signed by the police chief or designee no later than the due date. Each level within the chain of command should have the opportunity to review, comment and sign the evaluation prior to reviewing the evaluation with the employee. Additional time should be allowed if the evaluation recommends denial of appointment from probationary to regular status, denial of a merit pay increase, extension of a review period, or probationary period extension.  
**[35.1.8]**
18. Ensure that employee evaluations are routed in envelopes to prevent unauthorized disclosure.
19. Ensure that an interview is conducted with the employee when reviewing the complete evaluation report and that the employee is allowed to make written comments.  
**[35.1.10]**
20. Ensure that the employee is given the opportunity to review, comment, sign and receive a copy of the completed performance evaluation.  
**[35.1.9,a; 35.1.11]**

21. Ensure that all employees are made aware of the city's policy regarding the review process for contesting evaluation reports, as defined in A.R. 6-24 and Alexandria's Employee Performance Evaluation Program. **[35.1.12]**

**C. Immediate supervisors of raters will:**

1. Ensure that each performance evaluation report is complete, reviewed and signed by the rater.
2. Ensure that annual evaluations include a notation that the employee has signed off on all property sheets needing dispositions and has returned them to the Property Section, if applicable (once the review with the employee has been completed).
3. Review and sign each performance evaluation submitted by their immediate subordinates. **[35.1.8]**
4. Ensure that all employees are rated by their immediate supervisor in a uniform and fair manner.
5. Evaluate raters on how well they fulfill their evaluation responsibilities. **[35.1.14]**
6. Resolve differences between raters and employees when necessary.
7. Ensure that all supervisory/management personnel are rated on their compliance with Accreditation Standards within their job responsibilities and civic association responsibilities, if applicable. This should be reflected in the comments from Final Review Section of the employee evaluation form or an accompanying memo.
8. Ensure that, in the event a subordinate's ratings are changed as the package is sent up the chain of command, the following actions are taken:
  - a. The evaluation package is returned to the rater, who will reflect the agreed upon changes on the evaluation prior to the review with the employee; and
  - b. The Personnel and Training Division Chief is notified of changes to the evaluation that occur after the evaluation package has been submitted to Human Resources, so the package can be retrieved and amended, if necessary.
9. Ensure that evaluations classified overall as outstanding are routed through the police chief's aide for consideration of an outstanding performance award.

**D. The Personnel and Training Division Chief will:**

1. Provide guidance to Kronos users on how to identify evaluation due dates within the system as well as how to print out a listing of evaluation due dates to provide to commanders as needed.
2. File a copy of each performance evaluation in the employee's personnel file. Annual performance evaluations are kept on file during the entire employment period. **[35.1.13]**

3. Notify commanders if evaluations are late.
  4. Ensure new supervisors receive performance evaluation training. **[35.1.1,d]**
  5. Notify commanders whenever a subordinate's evaluation due date has been changed.
  6. Maintain a continuing record of late evaluations within the Department (evaluations signed by the police chief or designee on or before the due date are considered on time).
  7. No later than May 15, forward an annual report through channels to the police chief. This report will include evaluations due from May 1 through April 30 of the previous 12-month period and may be used in the chief's personal/departamental evaluation, which is normally prepared in June for submission to the city manager.
  8. Ensure that Personnel Action Forms (PAFs) are completed in a timely fashion and routed to Human Resources with the original evaluation package.
- E. The Chief of Police reserves the right to consider performance evaluations in determining suitability for assignments, training needs, increased responsibility, effectiveness in performing current and potential assignments, transfers to other assignments, career development, and final decisions on promotions.

<b>4.14.04      PROCEDURES</b>
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A. Probationary employees

1. All probationary employees (sworn and non-sworn) will receive written performance evaluations quarterly. **[35.1.3]**
2. All probationary employees will receive planning sessions, progress discussions, mid-probationary evaluations, and final evaluations using city Employee Evaluation forms (*F-OMB-50*) available on InfoPath Forms.
3. Entry-level police officers will be evaluated monthly using the Police Training Officer Program forms.
4. For new police officers, the twelve-month probation period begins when the employee completes the training academy and attains sworn status. Officers must successfully complete the Police Training Officer Program during their probationary period (see Directive 5.1, Probationary Officer Training, for more information). **[32.2.10]**
5. Probationary employees will be given the opportunity to contest performance reports by the use of the comment section of the employee evaluation form. **[35.1.12]**



6. Extensions of the probationary period must have the approval of the police chief and the Human Resources Director before the evaluation package is presented to the employee.
- B. All employees: For the purpose of evaluating work performance, all performance evaluation expectations will be based on job-related factors. Employees will be evaluated using valid, useful, and non-discriminatory factors. **[35.1.4]**
- C. Merit pay increases
1. Merit pay increases will be based on satisfactory service as determined by an evaluation of the eligible employee's performance.
    - a. A rating lower than "meets requirements" in a specific category (e.g., volume of work, quality of work) does not automatically prohibit a supervisor from recommending a within-scale increase.
    - b. The supervisor should take into consideration the overall performance of the employee, and the importance of the category in relation to the employee's job.
  2. Consideration for merit increases will be delayed for any employee who has a paid or unpaid absence exceeding 60 consecutive workdays during a performance-rating period.
    - a. The extension may be for a period no longer than the absence.
    - b. When an employee's merit increase effective date is delayed as the result of such an extension, the effective date is changed for the affected evaluation only (see A.R. 6-13 for further information).
    - c. Exception to the above: Employees, who as a result of an illness, disability, job-related injury, maternity, adoption or Family and Medical Leave Act (FMLA) absence, have their annual performance review and merit increase date delayed, will receive a retroactive merit increase if performance is satisfactory.
    - d. The effective date of the merit increase will be the employee's prior merit increase date, and this date will remain in effect for subsequent merit increases. Any other exception to this provision requires the written approval of the Human Resources Director.

**By Authority Of:**

**Michael L. Brown**  
**Chief of Police**